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TRANSMITTAL FORM		Application No.	10/768,785			
		Filing Date	January 30, 2004			
(to be used for all	(to be used for all correspondence after initial filing)		First Named Inventor	Peter C. Zhu		
			Art Unit	Not yet assigned		
			Examiner Name	Not yet assigned		
Total Number of F	Pages in This Submissi	on 7	Attorney Docket Number	56301P5014		
	ENCLO	SURES (chec	k all that apply)			
Fee Transmittal	Form	Drawing(s)		After Allowance Communication to Group		
Fee Attac	hed	Licensing-r	related Papers	Appeal Communication to Board of Appeals and Interferences		
Amendment / Re	esponse	Petition	·	Appeal Communication to Group (Appeal Notice, Brief, Reply Brief)		
After Fina Affidavits/	l 'declaration(s)	Petition to 0 Provisional	Convert a Application	Proprietary Information		
Extension of Tim	ne Request	Power of A Change of	ttorney, Revocation Correspondence Address	Status Letter		
Express Abando	onment Request	Terminal D	isclaimer	Other Enclosure(s) (please identify below):		
Information Disc	losure Statement	Request for	r Refund	First Class Certificate of		
PTO/SB/08		CD, Number of CD(s)		Mailing, the stamped return postcard and copies of the		
Certified Copy o	f Priority	_		three (3) of the cited references.		
Response to Mis Incomplete Appl	ssing Parts/ ication	Remarks	1			
	: Filing Fee aration/POA	nemarks				
⊔	e to Missing ler 37 CFR					
	SIGNATUR	E OF APPLICA	NT, ATTORNEY, OR AG	BENT		
Firm or	Brent E. Vecchi	ia, Reg. No. 48	3,011			
Individual name	BLAKELY, S	OKOLOFF,	TAYLOR & ZAFM	AN LLP		
Signature	Scent E.	Veerhie				
Date	7-29-0	ρy				
	CERTIF	CATE OF MAIL	ING/TRANSMISSION			
	I hereby certify that this correspondence is being deposited with the United States Postal Service on the date shown below with sufficient postage as first class mail in an envelope addressed to: Commissioner for Patents, P.O. Box 1450, Alexandria, VA					
Typed or printed na	me Knista Math	ieson				
Signature	Mus	Tall/a-1	rhieson 1	Date Tuly 29,2004		
Based on PTO/SB/21 (04-04) a	as modified by Blakely, Solokof	f, Taylor & Zafnıan (wir)	06/04/2004.	( )		

Based on PTO/SB/21 (04-04) as modified by Blakely, Solokoff, Taylor & Zafn an (wlr) 06/04/2004. SEND TO: Commissioner for Patents, P.O. Box 1450, Alexandria, VA 22313-1450

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### FÉE TRANSMITTAL for FY 2004

Effective 01/01/2004. Patent fees are subject to annual revision.

Applicant claims small entity status. See 37 CFR 1.27.

TOTAL AMOUNT OF PAYMENT

(\$)

Complete if Known					
Application Number	10/768,785				
Filing Date	January 30, 2004				
First Named Inventor	Peter C. Zhu				
Examiner Name	Not yet assigned				
Art Unit	Not yet				
Attorney Docket No.	56301P5014				

METHOD OF PAYMENT (check all that apply)	YMENT (check all that apply)					FEE CALCULATION (continued)			
☐ Check ☐ Credit card ☐ Money ☐ Other ☐ None	3. /	ADDITIO	NAL	FEES	3	-			
☐ Check ☐ Credit card ☐ Money ☐ Other ☐ None ☐ Deposit Account	Lare	ge Entity	ı Sma	II Entity	,				
Deposit Account	Fee	·	Fee	Fee	<u>-</u>				
Deposit Account 02_2666	Code	⇒ (\$)	Code	(\$)	Fee	Description		Fee Paid	
Account Number 02-2666	1051	130	2051	65	Surcharge - late filing	fee or oath			
Deposit	1052	2 50	2052	25	Surcharge - late provi	sional filing fee or			
Account Name Blakely, Sokoloff, Taylor & Zafman LLP	2052	130	2052	130	Non-English specifica	tion			
The Commissioner is authorized to: ( check all that apply)	2053 1812		2053 1812	2,520	For filing a request for		ation		
Charge fee(s) indicated below Credit any overpayments	1804	920*	1804	920	Requesting publication	n of SIR prior to			
					Examiner action				
CFR §§ 1.16, 1.17, 1.18 and 1.20.	1805	1,840*	1805	1,840	<ul> <li>Requesting publication</li> <li>Examiner action</li> </ul>	n of SIR after			
Charge fee(s) indicated below, except for the filing fee to the above-identified deposit account	1251	110	2251	55	Extension for reply wit	hin first month			
FEE CALCULATION	1252		2252	210	Extension for reply wit				
1. BASIC FILING FEE	1253		2253	475	Extension for reply wit				
Large Entity Small Entity	1254		2254	740	Extension for reply wit				
Fee Fee Fee Fee Description Fee Paid	1255		2255	1,005	Extension for reply wit	hin fifth month			
Code (\$) Code (\$)	1404		2401	165	Notice of Appeal				
1001 770 2001 385 Utility filing fee	1402		2402	165	Filing a brief in suppor	t of an appeal			
1002 340 2002 170 Design filling fee	1403	-	2403	145	Request for oral heari				
1003 530 2003 265 Plant filing fee	1451		2451	1,510	Petition to institute a p	-	ina		
1004 770 2004 385 Reissue filing fee 1005 160 2005 80 Provisional filing fee	1452		2452	55	Petition to revive - una	•	··· <b>···············</b>		
1005 100 2005 00 1 10VISIONED HINNING 166	1453		2453	665	Petition to revive - uni				
SUBTOTAL (1) (\$)	1501		2501	665	Utility issue fee (or rei				
2. EXTRA CLAIM FEES Extra Fee from	1502		2502	240	Design issue fee	•			
Claims below Fee Paid	1503	640	2503	320	Plant issue fee				
Total Claims 20° = X	1460	130	2460	130	Petitions to the Comm	issioner		<del></del>	
Independent 3 = X	1807	50	1807	50	Processing fee under 3	37 CFR 1.17(q)			
Multiple Dependent =	1806	180	1806	180	Submission of Informa	ation Disclosure St	mt	<del></del>	
Large Entity Small Entity	8021	40	8021	40	Recording each pater property (times number				
Fee Fee Fee Fee <u>Fee Description</u> Code (\$) Code (\$)	1809	770	1809	385	Filing a submission aft				
1202 18 2202 9 Claims in excess of 20	1				(37 CFR § 1.129(a))				
1201 86 2201 43 Independent claims in excess of 3	1810	770	2810	385	For each additional invexamined (37 CFR § 1				
1203 290 2203 145 Multiple Dependent claim, if not paid	1801	770	2801	385	Request for Continued		E)		
1204 86 2204 43 **Reissue independent claims over original patent	1802		1802	900	Request for expedited	•	•		
1205 18 2205 9 **Reissue claims in excess of 20 and over	1	fee (specify)	-555	200	of a design application				
original patent		- ()							
SUBTOTAL (2) (\$)									
**or number previously paid, if greater, For Reissues, see below	Heduo	ed by Basic Filin	g Fee Pai	a	5	SUBTOTAL (3)	(\$)	]	
SUBMITTED BY						Comp	lete (if applic	ahla)	
	1	Registratio	on No.	Т	40.011				
Name (Print/Type) Brent E. Vecchia		Attorney/Age		- 1 - 4	48,011	Telephone	(303) 74	ハーエスタハ	

Date

Signature

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## FEE TRANSMITTAL for FY 2004

Effective 01/01/2004. Patent fees are subject to annual revision.

Applicant claims small entity status. See 37 CFR 1.27.

**TOTAL AMOUNT OF PAYMENT** 

(\$)

Complete if Known					
Application Number	10/768,785				
Filing Date	January 30, 2004				
First Named Inventor	Peter C. Zhu				
Examiner Name	Not yet assigned				
Art Unit	Not yet				
Attorney Docket No.	5630 P5014				

METHOD OF PAYMENT (check all that apply)						oly)	FEE CALCULATION (continued)					
	☐ Check ☐ Credit card ☐ Money ☐ Other ☐ None				3. A	DDITIO	NAL	FEES	3			
	sit Accou		aru	Order	☐ Other	None	Large	e Entity	Sma	II Entity	,	
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Depo Acco				02-2666			Code	(\$)	Code	(\$)	Fee Description	Fee Paid
Numi				02-2000			1051	130	2051	65	Surcharge - late filing fee or oath	
Depo Acco			0.1	1 (( ( ( )	0.7.6	7.1.0	1052	50	2052	25	Surcharge - late provisional filing fee or cover sheet.	
Name	[B	іакеіу	, Soke	oloff, Taylor	& Zatman	LLP	2053	130	2053	130	Non-English specification	
The Com	missione	r is autho	orized to	: ( check all that a	oply)		1812	2,520	1812	2,520	For filing a request for ex parte reexamination	
☐ Char	ge fee(s)	indicated	below	Cre	dit any overpaym	ents	1804	920 *	1804	920 1	* Requesting publication of SIR prior to Examiner action	
				inderpayment of fe	es as required u	nder 37	1805	1,840*	1805	1,840 *		
		1.17, 1.18 indicated		u. xcept for the filing	j fee		1803	1,010	1003	.,	Examiner action	
		dentified d					1251	110	2251	55	Extension for reply within first month	
		FE	E CA	LCULATIO	V		1252	420	2252	210	Extension for reply within second month	
1.	BASIC	FILIN	IG FE	E			1253	950	2253	475	Extension for reply within third month	
Large E		Small		<del>-</del>			1254	1,480	2254	740	Extension for reply within fourth month	
Fee Code	Fee (\$)	Fee Code	Fee (\$)	Fee Description		Fee Paid	1255	2,010	2255	1,005	Extension for reply within fifth month	
1001	770	2001	385	Utility filing fee			1404	330	2401	165	Notice of Appeal	
1002	340	2002	170	Design filing fee			1402	330	2402	165	Filing a brief in support of an appeal	
1003	530	2003	265	Plant filing fee			1403	290	2403	145	Request for oral hearing	
1004	770	2004	385	Reissue filing fe	е		1451	1,510	2451	1,510	Petition to institute a public use proceeding	
1005	160	2005	80	Provisional filing	fee		1452	110	2452	55	Petition to revive - unavoidable	
		•	SUBT	OTAL (1)	(\$)		1453	1,330	2453	665	Petition to revive - unintentional	
			1501	1,330	2501	665	Utility issue fee (or reissue)					
2.	EXTR	A CLA	IM FE	ES <sub>Extra</sub>	Fee from		1502	480	2502	240	Design issue fee	
Total Clair	ne I			Claims	below	Fee Paid	1503	640	2503	320	Plant issue fee	
Independe			- 20	= X			1460	130	2460	130	Petitions to the Commissioner	
Claims	l		. 3	⁼└───┴×│			1807	50	1807	50	Processing fee under 37 CFR 1.17(q)	
Multiple D	•			L			1806	180	1806	180	Submission of Information Disclosure Stmt	
Large Er	rtity Fee	Small E Fee	Fee	Fee Description			8021	40	8021	40	Recording each patent assignment per property (times number of properties)	
<b>Code</b> 1202	<b>(\$)</b> 18	<b>Code</b> 2202	( <b>\$</b> )	Claims in excess	of 20		1809	770	1809	385	Filing a submission after final rejection (37 CFR § 1.129(a))	
1202	86	2202	43	Independent clain			1810	770	2810	385	For each additional invention to be	
1203	290	2203	145	Multiple Depende		id					examined (37 CFR § 1.129(b))	
1204	86	2204	43	**Reissue indeper	dent claims over	original	1801	770	2801	385	Request for Continued Examination (RCE)	
	••		_	patent	/ **		1802	900	1802	900	Request for expedited examination of a design application	
1205	18	2205	9	"Reissue claims i original patent	n excess of 20 ai	na over	Other fe	e (specify)				
			SUBT	TOTAL (2)	(\$)		, Don't in	Ib. D'- T	C C '			
	**or nun	nber previ	ously pa	id, if greater, For F	eissues, see bel	ow .	Heaucea	I by Basic Filin	ug ree Pai	u	SUBTOTAL (3) (\$)	
CIID	SUBMITTED BY											

Registration No. (Attorney/Agent)

48,011

(303) 740-1980

Telephone

Date

Brent E. Vecchia

Name (Print/Type)

Signature

Docket No.: 56301P5014

#### IN TO UNITED STATES PATENT AND TRADEMARK OFFICE

In Re the Application of:

PETER C. ZHU, ET AL.

Application No.: 10/768,785

Filed: January 30, 2004

For: **SYNTHESIS OF 4-SUBSTITUTED** 

**PHTHALALDEHYDE** 

Art Group: Not yet assigned

Examiner: Not yet assigned

#### INFORMATION DISCLOSURE STATEMENT UNDER 37 C.F.R. §1.97

Commissioner for Patents P.O. Box 1450 Alexandria, VA 22313-1450

In accordance with the duty of disclosure, enclosed is a copy of IDS Citation Form PTO/SB/08 or PTO-1449, together with copies of the documents cited on that form, except for copies not required to be submitted (e.g., copies of U.S. patents and U.S. published patent applications need not be enclosed for applications filed after June 30, 2003). This IDS and IDS Citation Form are being submitted before the mailing of a first Office Action. It is respectfully requested that the cited references be considered and that the enclosed copy of PTO/SB/08 be initialed by the Examiner to indicate such consideration and a copy thereof returned to applicant(s).

-1- 56301P5014

The submission of this Information Disclosure Statement is not to be construed as a representation that a search has been made in the subject application and is not to be construed as an admission that the information cited in this statement is material to patentability.

Please charge any fees due to Deposit Account 02-2666. A duplicate copy of the Fee Transmittal (PTO/SB/17) is enclosed for this purpose.

Respectfully submitted,

BLAKELY, SOKOLOFF, TAYLOR & ZAFMAN LLP

Brent E. Vecchia, Reg. No. 48,011

12400 Wilshire Boulevard, 7th Floor Los Angeles, CA 90025 Telephone: (303) 740-1980

I hereby certify that this correspondence is being deposited with the United States Postal Service on the date shown below with sufficient postage as first class mail in an envelope addressed to: Commissioner for Patents, P.O. Box 1450, Alexandria, VA 22313-1450.

Krista Mathieson

-2- 56301P5014

# Substitute for form 1449A/PTO AUG 0 2 2004 INFORMATION DISCAOSURE STATEMENT BY APPEIGANT

(use as many sheets as necessary)

**Sheet** 1 **of** 2

Complete if Known					
Application Number	10/768,785				
Filing Date	January 30, 2004	_			
First Named Inventor	Peter C. Zhu				
Art Unit	Not yet assigned				
Examiner Name	Not yet assigned				
Attorney Docket Number	56301P5014				

	U.S. PATENT DOCUMENTS									
Evania	Document Number Publication Date  Publication Date  Publication Date  Pages, Columns, Lines, When of Patentee or Pages are Pages and Pages are Pag									
Examiner Initials*	Cite No.1	Number - Kind Code² (if known)	or Issue Date MM-DD-YYYY	Name of Patentee or Applicant of Cited Document	Relevant Passages or Relevant Figures Appear					
		US-4,419,368	12-06-1983	Jones et al.						
		US-5,866,723	02-02-1999	Hamper et al.						
_		US-5,945,451	08-31-1999	Kraatz et al.						
		US-6,461,997	10-08-2002	Hedge et al.						
		US-6,552,203	04-22-2003	Bertenshaw et al.						
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	FOREIGN PATENT DOCUMENTS								
Examiner Cite		Foreign Patent Document			Pages, Columns, Lines,				
Initials*	No.1	Country Code* - Number* - Kind Code* (if known)	Publication Date MM-DD-YYYY	Name of Patentee or Applicant of Cited Document	Where Relevant Passages or Relevant Figures Appear				
		WO 00/24761	05-04-2000	Aventis Pharma Deutschland	Translated Abstract				
		JP 09/124538	05-13-1997	Japanese Patent Application	Translated Abstract				

Examiner	Date	***
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Signature	Considered	

<sup>\*</sup>Examiner: Initial if reference considered, whether or not citation is in conformance with MPEP 609. Draw line through citation if not in conformance and not considered. Include copy of this form with next communication.

<sup>&#</sup>x27;Applicant's unique citation designation number (optional). \*See Kinds Codes of USPTO Patent Documents at www.uspto.gov or MPEP 901.04. \*Enter Office that issued the document, by the two-letter code (WIPO Standard ST.3). \*For Japanese patent documents, the indication of the year of reign of the Emperor must precede the serial number of the patent document. \*Kind of document by the appropriate symbols as indicated on the document under WIPO Standard ST. 16 if possible. \*Applicant is to place a check mark here if English language Translation is attached.



of

2

## INFORMATION DISCLOSURE STATEMENT BY APPLICANT

2

Sheet

Application Number 10/768,785

Filing Date January 30, 2004

First Named Inventor Peter C. Zhu

Art Unit Not yet assigned

Examiner Name Not yet assigned

Attorney Docket Number 56301P5014

Complete if Known

NON PATENT LITERATURE DOCUMENTS							
Examiner Initials*	Cite No.¹	Include name of the author (in CAPITAL LETTERS), title of the article (when appropriate), title of the item (book, magazine, journal, serial, symposium, catalog, etc.), date, page(s), volume-issue number(s), publisher, city and/or country where published.  Preparation of aromatic polyaldehydes by hydrolysis of gem-dibromides. Li, Mingwei; Fan, Nengting. Beijing No. 1 Light Ind. Inst., Beijing, Peop. Rep. China. Huaxue Shijie (1985), 26(5), 168-70. Journal written in Chinese. Abstract Translated					
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Examiner	Date	
Signature	Considered	

<sup>\*</sup>Examiner: Initial if reference considered, whether or not citation is in conformance with MPEP 609. Draw line through citation if not in conformance and not considered. Include copy of this form with next communication.

<sup>&#</sup>x27;Applicant's unique citation designation number. 'Applicant is to place a check mark here if English language Translation is attached.